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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

9

Application Number

10/705,989

Filing Date

November 12, 2003

First Named Inventor

Lilip Lau

Art Unit

3736

Examiner Name

Unassigned

Attorney Docket Number

PARCR 65989

ENCLOSURES (check all that apply)

- Fee Transmittal Form
- Fee Attached
- Amendment / Reply
- After Final
- Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Drawing(s)
- Licensing-related Papers
- Petition
- Petition to Convert a Provisional Application
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Postcard

24201

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	FULWIDER PATTON LEE & UTECHT, LLP		
Signature			
Date	January 22, 2004		

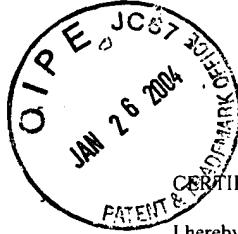
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John S. Nagy, Reg. No. 30,664

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/705,989
Applicant : Lilip Lau, William M. Hartigan
Filed : November 12, 2003
Art Unit : 3736
Examiner : Unassigned
Title : EXPANDABLE CARDIAC HARNESS FOR TREATING
HEART FAILURE

Docket No.: : PARCR 65989
Customer No. : 24201

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

The documents listed on the enclosed Forms PTO/SB/08A have come to the attention of Applicants and are submitted to the Office under 37 C.F.R. § 1.97(c) (3) and § 1.98(d). Enclosed is a copy of two Information Disclosure Statements (each with Form PTO/SB/08A) and a Notice of References Cited (Form PTO-892) as filed in the parent application, U.S. Serial No. 09/952,116 now U.S. Patent No. 6,663,558. The references listed were previously submitted or were cited in parent application U.S. Serial No. 09/634,043 filed August 8, 2001. It is believed that these references will be helpful during examination of the application.

This application is a continuation of U.S. Serial No. 09/952,116 which issued as U.S. Patent No. 6,663,558 on December 16, 2003, which is a continuation of U.S. Serial No. 09/634,043 filed August 8, 2001. A copy of the documents listed on the Information Disclosure Statement by Applicant, Forms PTO/SB/08A can be found in U.S. Serial No. 09/634,043.

Respectfully submitted,

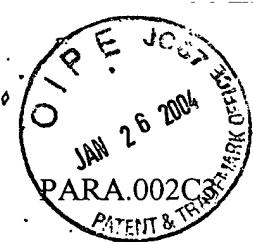
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38692.1



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Lau, et al.)	Group Art Unit Unknown
)	
App. No.	:	Unknown)	
)	
Filed	:	Herewith)	
)	
For	:	EXPANDABLE CARDIAC)	
		HARNESS FOR TREATING)	
		CONGESTIVE HEART)	
		FAILURE)	
)	
Examiner	:	Unknown)	
)	

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Enclosed is form PTO-1449 listing seventy-two references, none of which are enclosed. This Information Disclosure Statement is being filed within three months of the filing date of this application and no fee is required in accordance with 37 C.F.R. § 1.97(b)(1).

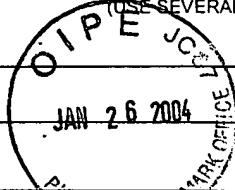
Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 9/10/01

By: 
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(949) 760-0404

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Lilip Lau, et al.	
		FILING DATE Herewith	GROUP ART UNIT Unknown



U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
1.	4,536,893	08-27-1985	Parravicini			
2.	4,936,857	06-26-1990	Kulik			
3.	4,957,477	09-18-1990	Lundbäck			
4.	5,131,905	07-21-1992	Grooters			
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11.	5,800,528	09-01-1998	Lederman, et al.			
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26.	6,183,411 B1	02/06/2001	Mortier, et al.			

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Lilip Lau, et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE Herewith	GROUP ART UNIT Unknown

JAN 26 2004

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	ATT & TRA DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
27.	6,076,013	06/13/2000	Brennan, et al.			
28.	6,125,852	10/03/2000	Stevens, et al.			
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45.	US 6,264,602 B1	07/24/2001	Mortier, et al.			

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
46.	FR 2,527,435	02-02-1983	France				
47.	WO 98/03213	01-28-1999	PCT				
48.	WO 98/58598	12-30-1998	Germany				
49.	WO 99/30647	06-24-1999	PCT				
50.	WO 00/02500	01-20-2000	PCT				

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Lilip Lau, et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE Herewith	GROUP ART UNIT Unknown

JAN 26 2004

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	TRADEMARK OFFICE	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO		
51.		WO 00/06026	02-10-2000	PCT				
52.		WO 00/06027	02-10-2000	PCT				
53.		WO 00/06028	02-10-2000	PCT				
54.		WO 00/16700	03-30-2000	PCT				
55.		WO 99/53977	10-28-1999	PCT				
56.		WO 01/50981 A1	07/19/2001	WIPO				

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57.	Alain Carpentier, M.D., Ph.D., et al, <i>Dynamic Cardiomyoplasty at Seven Years</i> , <i>The Journal of Thoracic and Cardiovascular Surgery</i> , Volume 106, Number 1.
58.	Eli R. Capouya, M.D., et al., <i>Girdling Effect of Nonstimulated Cardiomyoplasty on left Ventricular Function</i> , <i>The Society of Thoracic Surgeons</i> , 1993;56:867-71.
59.	O. H. Frazier, M.D. and Timothy J. Myers, BS, <i>Left Ventricular Assist System as a Bridge to Myocardial Recovery</i> , <i>The Society of Thoracic Surgeons</i> , 68: 734-41.
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61.	Howard R. Levin, M.D., et al., <i>Reversal of Chronic Ventricular Dilation in Patients With End-Stage Cardiomyopathy by Prolonged Mechanical Unloading</i> , <i>Circulation</i> , Volume 91, No. 11, June 1995.
62.	David A. Kass, M.D., et al., <i>Reverse Remodeling From Cardiomyoplasty in Human Heart Failure</i> , <i>Circulation</i> , Volume 91, No. 9, May 1, 1995.
63.	Vinay Badhwar, et al., <i>Power Generation From Four Skeletal Muscle Configurations, Design Implications for a Muscle Powered Cardiac Assist Device</i> , <i>ASAIO Journal</i> , 1997: 43: M651-M657.
64.	Ray C.-J. Chiu, <i>Using Skeletal Muscle for Cardiac Assistance</i> , <i>Scientific American</i> , November/December 1994.
65.	CARDIAC BINDING IN EXPERIMENTAL HEART FAILURE, Mikhail Vaynblat, MD, et al., 1997 by <i>The Society of Thoracic Surgeons</i> , Pages 81-85.
66.	THE EFFECTS OF PROSTHETIC CARDIAC BINDING AND ADYNAMIC CARDIOMYOPLASTY IN A MODEL OF DILATED CARDIOMYOPATHY, Joong Hwan Oh, MD, et al., <i>The Journal of Thoracic Cardiovascular Surgery</i> Volume 116, Number 1, Pages 148-153.
67.	PASSIVE VENTRICULAR CONSTRAINT AMENDS THE COURSE OF HEART FAILURE: A STUDY IN AN OVINE MODEL OF DILATED CARDIOMYOPATHY, J.M. Power, et al., <i>Cardiovascular Research</i> 44 (1999) 549-555.
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69.	PASSIVE EPICARDIAL CONTAINMENT PREVENTS VENTRICULAR REMODELING IN HEART FAILURE, Pervaiz A. Chaudry, M.D., et al, 2000 by <i>The Society of Thoracic Surgeons</i> , Pages 1275-1280.
70.	PASSIVE VENTRICULAR CONSTRAINT FOR THE TREATMENT OF CONGESTIVE HEART FAILURE, Mehmet C. Oz, MD, 2001 by <i>The Society of Thoracic Surgeons</i> , Pages S185-187.
71.	VENTRICULAR CONTAINMENT AS AN ADJUNCTIVE PROCEDURE IN ISCHEMIC CARDIOMYOPATHY: EARLY RESULTS, Jai S. Raman, et al., <i>Ann Thorac Surg</i> 2000;70:1124-6.
72.	CARDIOTHORACIC SURGERY, <i>SURGICAL FORUM</i> , Pages 146-148

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